

JC839 U.S. PTO  
06/22/01

6-85-01

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09/887145 PRO  
06/22/01

## UTILITY PATENT APPLICATION TRANSMITTAL

(Only for new nonprovisional applications under 37 CFR 1.53(b))

<b>APPLICATION ELEMENTS</b> <small>See MPEP chapter 600 concerning utility patent application contents.</small>		<b>ADDRESS TO:</b> Assistant Commissioner for Patents Box Patent Application Washington, DC 20231	
1. <input type="checkbox"/> Fee Transmittal Form (e.g., PTO/SB/17) <small>(Submit an original and a duplicate for fee processing)</small>		7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or Computer Program (Appendix)	
2. <input checked="" type="checkbox"/> Applicant claims small entity status. <small>See 37 CFR 1.27.</small>		8. Nucleotide and/or Amino Acid Sequence Submission <small>(if applicable, all necessary)</small>	
3. <input checked="" type="checkbox"/> Specification [Total Pages <b>42</b> ] <small>(preferred arrangement set forth below)</small> <ul style="list-style-type: none"> <li>- Descriptive title of the invention</li> <li>- Cross Reference to Related Applications</li> <li>- Statement Regarding Fed sponsored R &amp; D</li> <li>- Reference to sequence listing, a table, or a computer program listing appendix</li> <li>- Background of the Invention</li> <li>- Brief Summary of the Invention</li> <li>- Brief Description of the Drawings (if filed)</li> <li>- Detailed Description</li> <li>- Claim(s)</li> <li>- Abstract of the Disclosure</li> </ul>		a. <input type="checkbox"/> Computer Readable Form (CRF) b. Specification Sequence Listing on: <ul style="list-style-type: none"> <li>i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or</li> <li>ii. <input type="checkbox"/> paper</li> </ul>	
4. <input checked="" type="checkbox"/> Drawing(s) (35 U.S.C. 113) [Total Sheets <b>6</b> ]		c. <input type="checkbox"/> Statements verifying identity of above copies	
5. Oath or Declaration [Total Pages <b>3</b> ]		9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))	
a. <input checked="" type="checkbox"/> Newly executed (original or copy) Copy from a prior application (37 CFR 1.63 (d)) <small>(for continuation/divisional with Box 17 completed)</small>		10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <small>(when there is an assignee)</small>	
b. <input type="checkbox"/> DELETION OF INVENTOR(S) <small>Signed statement attached deleting Inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b).</small>		11. <input type="checkbox"/> English Translation Document (if applicable)	
6. <input type="checkbox"/> Application Data Sheet. See 37 CFR 1.76		12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449	
		13. <input type="checkbox"/> Preliminary Amendment	
		14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <small>(Should be specifically itemized)</small>	
		15. <input type="checkbox"/> Certified Copy of Priority Document(s) <small>(if foreign priority is claimed)</small>	
		16. <input checked="" type="checkbox"/> Other: Accounting Sheet	

17. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below and in a preliminary amendment, or in an Application Data Sheet under 37 CFR 1.76:

Continuation     Divisional     Continuation-in-part (CIP)

of prior application No.: **09/855,468**

Prior application information.

Examiner \_\_\_\_\_

Group / Art Unit: **N/A**

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

### 18. CORRESPONDENCE ADDRESS

<input type="checkbox"/> Customer Number or Bar Code Label		or <input checked="" type="checkbox"/> Correspondence address below			
Name		David Prashker			
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Name (Print/Type)		David Prashker		Registration No. (Attorney/Agent)	
Signature		<i>David Prashker</i>		29,693	

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington DC 20231.

ACCOUNTING SHEET

The Commissioner For Patents And Trademarks  
Washington, D.C. 20231

UBC-002  
Case Docket No.

Sir:

Transmitted herewith for filing is the patent application of

Inventor(s): Seung U. Kim  
For: "Immortalized Human Microglia Cell And Continuous  
Cell Line"

XXX Enclosed are:

XX 42 pages of Specification.  
XX 3 pages of claims.  
XX 6 sheets of drawing.  
XX An original combined Declaration And Power Of Attorney.  
XX A written assertion of entitlement to Small Entity status  
pursuant to 37 C.F.R. 1.27.  
   An Assignment of the invention to \_\_\_\_\_.  
   Other \_\_\_\_\_.

XXX The filing fee has been calculated as shown below:

*****					
<u>  </u>	Recording each Assignment.....	\$	40	\$	40
<hr/>					
(Col. 1)	(Col. 2)	SMALL ENTITY	LARGE ENTITY		
<hr/>					
<b>FOR:</b>	No. Filed /	No. Extra /	Rate - Fee	(or)	Rate - Fee
<hr/>					
<b>BASIC FEE:</b>	*****	*****	****	\$ 355	**** \$ ****
<hr/>					
<b>TOTAL CLAIMS:</b>	17 - 20 =	0	x \$ 9 =	\$ 00 (or) x \$18 =	\$ ****
<hr/>					
<b>INDEP CLAIMS:</b>	2 - 3 =	0	x \$40 =	\$ 00 (or) x \$80 =	\$
<hr/>					
<b>MULTIPLE DEPENDENT CLAIM PRESENTED</b>			+ \$135 =	\$ 00 (or) + \$270 =	\$ ****
<hr/>					
<b>TOTAL = \$ 355</b>					

XXX A check in the amount of \$ 355.00 for the filing fee is enclosed.

**ET182838578 US**

"Express Mail mailing label number

Date of  
Deposit

June 22, 2001

I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office To Addressee" service under 37 C.F.R. 1.10 with the mailing label number and the date indicated above, and is addressed to the Assistant Commissioner for Patents, Box Patent Application, Washington, D.C. 20231.

David Prashker

(Typed or printed name of person mailing paper or fee)

David Prashker

(Signature of person mailing paper or fee)

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Seung U. Kim  
Serial No. : yet to be provided  
Filed : herewith  
For : "IMMORTALIZED HUMAN MICROGLIA  
CELL AND CONTINUOUS CELL LINE"  
Attorney's Docket No : UBC-002

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WRITTEN ASSERTION OF SMALL ENTITY STATUS  
PURSUANT TO 37 C.F.R. 1.27

Assistant Commissioner for Patents  
Box Patent Application  
Washington, D.C. 20231

Dear Sir:

Pursuant to the provisions of 37 C.F.R. 1.27 as amended  
and effective September 8, 2000 and in accordance with Section  
1.27(c) in particular, the above-identified applicant hereby formally  
presents and files his written assertion of entitlement to Small Entity  
status.

Respectfully submitted,

SEUNG U. KIM

By:   
David Prashker  
Reg. No. 29,693  
Attorney for applicant

Date: June 22, 2001  
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